



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Steven C. Schachter

Application No.: 10/668,681

Group Art Unit: 1762

Filed: September 23, 2003

Examiner: Not Yet Assigned

Confirmation No.: 1243

Title: ANTIMICROBIAL COATINGS FOR MEDICAL APPLICATIONS

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
April 17, 2004	<i>Shannon Luis</i>
Date	Signature
<i>Shannon Luis</i>	
Typed or printed name of person signing certificate	

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)

☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).

☐ under 37 CFR 1.97(c) together with either:  
☐ a Statement under 37 CFR 1.97(e), as checked below, or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with:  
☐ a Statement under 37 CFR 1.97(e), as checked below, and  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)

☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
  - ☒ Copies of the cited references AL-AN and AR-AV are enclosed.
    - ☒ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
  - ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
  - ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
  - ☐ The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
    - ☐ the explanation provided on the attached sheet.
    - ☐ the explanation provided in the Specification.
    - ☐ submission of the enclosed International Search Report.
    - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
    - ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

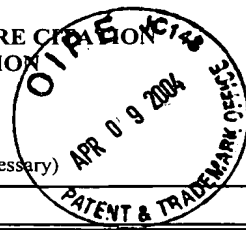
HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

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Dated: April 6, 2004

PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 1440.2028-001		APPLICATION NO. 10/668,681	
<b>INFORMATION DISCLOSURE CIP</b> <b>IN AN APPLICATION</b> <b>April 7, 2004</b> (Use several sheets if necessary)		FIRST NAMED INVENTOR Steven C. Schachter		FILING DATE September 23, 2003	
		EXAMINER Not Yet Assigned		CONFIRMATION NO. 1243	
				GROUP 1762	

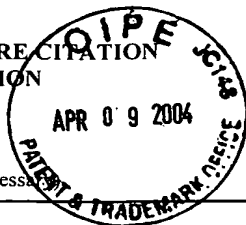


## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	3,944,702	03-16-1976	Clark
	AB	3,976,497	08-24-1976	Clark
	AC	3,986,997	10-19-1976	Clark
	AD	4,027,073	05-31-1977	Clark
	AE	4,377,608	03-22-1983	Daudt <i>et al.</i>
	AF	5,482,740	01-09-1996	Conway <i>et al.</i>
	AG	5,492,692	02-20-1996	Digenis <i>et al.</i>
	AH	5,492,763	02-20-1996	Barry <i>et al.</i>
	AI	5,512,055	04-30-1996	Domb <i>et al.</i>
	AJ	5,520,664	05-28-1996	Bricault, Jr. <i>et al.</i>
	AK	5,536,258	07-16-1996	Folden
	AA2	5,599,321	02-04-1997	Conway <i>et al.</i>
	AB2	5,638,812	06-17-1997	Turner
	AC2	5,662,913	09-02-1997	Capelli
	AD2	5,681,575	10-28-1997	Burrell <i>et al.</i>
	AE2	5,707,366	01-13-1998	Solomon <i>et al.</i>
	AF2	5,716,406	02-10-1998	Farber
	AG2	5,753,251	05-19-1998	Burrell <i>et al.</i>
	AH2	5,762,638	06-09-1998	Shikani <i>et al.</i>
	AI2	5,770,255	06-23-1998	Burrell <i>et al.</i>
	AJ2	5,782,808	07-21-1998	Folden
	AK2	5,837,275	11-17-1998	Burrell <i>et al.</i>
	AA3	5,902,283	05-11-1999	Darouiche <i>et al.</i>
	AB3	5,929,159	07-27-1999	Schutt <i>et al.</i>
	AC3	5,954,869	09-21-1999	Elfersy <i>et al.</i>
	AD3	5,985,308	11-16-1999	Burrell <i>et al.</i>

EXAMINER	DATE CONSIDERED
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PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 1440.2028-001		APPLICATION NO. 10/668,681	
<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  April 7, 2004  (Use several sheets if necessary)		FIRST NAMED INVENTOR Steven C. Schachter		FILING DATE September 23, 2003	
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	AE3	5,997,815	12-07-1999	Anders <i>et al.</i>
	AF3	6,013,106	01-11-2000	Tweden <i>et al.</i>
	AG3	6,017,334	01-25-2000	Rawls
	AH3	6,017,553	01-25-2000	Burrell <i>et al.</i>
	AI3	6,080,490	06-27-2000	Burrell <i>et al.</i>
	AJ3	6,113,636	09-05-2000	Ogle
	AK3	6,120,587	09-19-2000	Elfersy <i>et al.</i>
	AA4	6,126,931	10-03-2000	Sawan <i>et al.</i>
	AB4	6,162,487	12-19-2000	Darouiche
	AC4	6,190,407 B1	02-20-2001	Ogle <i>et al.</i>
	AD4	6,238,686 B1	05-29-2001	Burrell <i>et al.</i>
	AE4	6,261,271 B1	07-17-2001	Solomon <i>et al.</i>
	AF4	6,264,936 B1	07-24-2001	Sawan <i>et al.</i>
	AG4	6,267,782 B1	07-31-2001	Ogle <i>et al.</i>
	AH4	6,432,191 B2	08-13-2002	Schutt
	AI4	6,451,382 B2	09-17-2002	Schutt <i>et al.</i>
	AJ4	2001/0027299 A1	10-04-2001	Yang <i>et al.</i>
	AK4	2001/0030038 A1	10-18-2001	Schutt <i>et al.</i>
	AA5	2001/0032568 A1	10-25-2001	Schutt
	AB5	2001/0056141 A1	12-27-2001	Schutt
	AC5	2002/0048679 A1	04-25-2002	Lohmer <i>et al.</i>
	AD5	2002/0102417 A1	08-01-2002	Schutt <i>et al.</i>

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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION	
					YES	NO
	AL	WO 98/08463	03-05-1998	Helix Medical Corporation		
	AM	WO 00/27897	05-18-2000	C.R. Bard, Inc.		
	AN	WO 01/53414 A1	07-26-2001	C.R. Bard, Inc.		
	AO					
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		EXAMINER Not Yet Assigned		CONFIRMATION NO. 1243	
				GROUP 1762	

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

AR	Carmeda - Press Release - 19 Jan 00 - Carmeda to Begin Clinical Trial to Verify Anti-Infective Properties of CBAS Heparin, <a href="http://www.carmeda.com/11900.html">http://www.carmeda.com/11900.html</a>
AS	Potera, C., "Studying Slime," <i>Environmental Health Perspectives</i> , Innovations, EHP Online, 106(12), December, 1998, <a href="http://www.ehp.niehs.nih.gov/docs/1998/106-12/innovations.html">http://www.ehp.niehs.nih.gov/docs/1998/106-12/innovations.html</a>
AT	Proformant - Corporate Development - Our Experience - Medical Devices - <i>Advanced Medical Devices and Hospital Supplies</i> , <a href="http://www.proformant.com/page/clients/med_dev.html">http://www.proformant.com/page/clients/med_dev.html</a>
AU	SSM Online - News - September 16, 2003: Antimicrobial Biodegradable Coating Could Reduce Catheter Infection Risk, <a href="http://www.ssmonline.org/News/ViewRelease.asp?ReleaseID-3801">http://www.ssmonline.org/News/ViewRelease.asp?ReleaseID-3801</a>
AV	STS Biopolymers, Inc. - <i>Advance in Ultrasound Imaging</i> - Press Release dated February 24, 1998, <a href="http://www.stsbiopolymers.com/CompanyNews/PressReleases/prultrasound2-24-98.html">http://www.stsbiopolymers.com/CompanyNews/PressReleases/prultrasound2-24-98.html</a>
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